**ARC EOY PROGRESS & CARRYOVER REPORT FORM**

**FOR ARC-FUNDED PROJECTS ACTIVE IN THE YEAR 2017**

This template must be completed for all ARC projects active in 2017.

Please forward your completed form to [Fin-Research@newcastle.edu.au](mailto:Fin-Research@newcastle.edu.au) by Friday 16 February 2018 COB.

You should have received an email from Financial Services with your account balance which indicated whether a carryover is required for 2017. For further information please contact [Fin-Research@newcastle.edu.au](mailto:Fin-Research@newcastle.edu.au) or log onto the Research Financial System to view your research grant financial information.

1. **PROJECT IDENTIFICATION**

(Copy and paste from email from Financial Services)

*Project ID:*

*Lead CI:*

*G Number:*

If dates have changed from those in email

|  |  |
| --- | --- |
|  | ***Details of Changes*** |
| *Actual Start Date*  *Please only complete the start date if project started in 2017* |  |
| *Anticipated End Date*  *Note that RFS will not allow spending beyond the recorded grant end date* |  |

**2. CARRYOVER JUSTIFICATION**

|  |  |
| --- | --- |
| *Carryover required* | Yes / No |
| *Total Expenditure (2017)* | $ |
| *Cumulative Surplus/(Deficit)* | \*$ |

***\*****The carryover amount may vary if funding transferred to another institution has not been completely spent in 2017. Finance will advise once information from other institutions has been received*

**IMPORTANT: Carryover of funds may affect CI eligibility on other ARC grants. Please ensure each CI has not exceeded the maximum number of allowable grants. The ARC will not allow carryovers or extensions on grants that are already three years after the original end date via the EOY process. Please contact the** [**Research Grants Team**](mailto:research-grants@newcastle.edu.au) **if you have any questions about eligibility, carryovers or extensions.**

**Note:** If expenditure has been incorrectly charged to another Project account you must amend this amount internally prior to the completion of this form. Please contact your [Research Accountant](https://www.newcastle.edu.au/research-and-innovation/resources/grants/manage/financial-assistance) for assistance.

The ARC has compiled a list of standard reasons for carrying funds over to the next year. If the unspent funds are to be recovered, indicate this by selecting reason code ‘Recovery’.

For the carryover of any funds the ARC requires one or more of the following unspent reason codes to be selected. Please place an ‘x’ beside only the most relevant reason/s.

|  |  |  |
| --- | --- | --- |
| **Reason for carryover of funds / Extension of end date** | | **Selected Reason** |
| Late Project start | Project started late (e.g. due to late signing of agreement/s; ARC approved deferment; moved from overseas). Late Project Start can only be chosen as a reason for unspent funds in the year the project commenced. If you requested to change the start date in Q1 then Late Project Start should be selected as a reason for unspent funds. |  |
| Late Student Start | Late commencement of HDR Student. |  |
| Late Staff Start | Late commencement of staff. |  |
| Leave/suspension | Investigators/students took leave/maternity leave or the project was suspended. Leave/suspension can only be chosen as a reason for unspent funds if the leave/suspension relates to a named participant on the Project. |  |
| Named Personnel resigned | Unexpected resignation of named staff. |  |
| Student resigned | Unexpected resignation of student. |  |
| Work Hours Change | Change in work hours (% of FTE) approved by ARC or Administering Organisation. |  |
| Project Transfer | Project transferred during the reporting period. If the transfer did not take place in 2017 then Project Transfer cannot be chosen as a reason for unspent funds. |  |
| CI Movement | Disruption due to movement of named investigators. |  |
| Seasonal Fieldwork | Seasonal nature of fieldwork (e.g. wet season, migratory practices, remote community access etc…) |  |
| Equipment Issue/s | Equipment Issues (e.g. breakdown of Project equipment; unavailability of new equipment causing delays; delay in new equipment being available from supplier; delay in construction of equipment). |  |
| Late Invoicing | Late invoicing for services or equipment. |  |
| Task Rescheduling | Rescheduling of tasks due to change of budget/scope, resulting in expenditure being moved into next year. |  |
| Other (must  specify reason) | If Other is chosen, a mandatory reason must be submitted. Please provide details (250 character limit): |  |
| Recovery\* | A recovery occurs when unspent ARC funding is repaid to the ARC. When funds have not been spent and there is no approved carryover, ARC funding will be recovered. Please make sure to only include this reason if there are funds to be recovered by the ARC. |  |
| Transfer Correction | Correction in the figures provided to the ARC at the time of the transfer of the project. If this is selected, additional information must be entered into the justification stating what has happened and the amount that needs to be transferred and/or corrected. |  |

**ADDITIONAL JUSTIFICATION**

**Additional justification must be provided in the following instances:**

1. **Where there is a request to carryover 75% or more of the total 2017 ARC allocation**
2. **When there is a request to carryover the unspent portion of the previous year’s carryover funding (+12 months carryover)**

|  |
| --- |
| **Justification (750 character limit):** |

**3. SIGNIFICANT ISSUES**

All CI1’s on ARC projects that were active in 2017 must complete question 3.1 even if the project is complete and the account balance is $0.

3.1 Were there any significant issues affecting the progress of the Project in 2017 that were not reported \* to the ARC in a previous calendar year?

Yes  No

\* If a VFA (Variation to Funding Agreement) was submitted and approved by the ARC and no additional changes or issues have affected the Project than those already reported to the ARC, then the question above may be answered as ‘no’.

**If ‘Yes’ has been selected for question 3.1 please place an ‘x’ beside only the most relevant reason/s.** Answering yes does not replace the requirement for a VFA to be submitted.

|  |  |
| --- | --- |
| **Progress Report Issues** | **Selected Reason** |
| Project was delayed as it was transferred during the reporting period and this significantly impacted the Project |  |
| Approved change to work hours (% of FTE) for a named Investigator on the Project resulted in changes to the end date. |  |
| Due to personal reasons member/s of the research team had to take time off the Project to attend to personal health/carer matters (does not include support staff). |  |
| Issues with Partner Organisation such as: contributions not yet received; change in staff; change in structure; Organisation left or joined the Project. |  |
| Changes within the research team such as Personnel left or joined the team (does not include support staff). |  |
| The scope/budget of the Project was altered to include/exclude tasks listed in the Proposal. |  |
| Equipment issues have delayed the Project during the reporting period. |  |
| Fieldwork issues have caused a significant delay to the Project during the reporting period. |  |

**4. CERTIFICATION**

**Signature below is only required if the report is not emailed from lead CI’s email address, which serves as certification.**

I certify that all details in this form are true and complete.

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | Date: |  |

**This form must be returned to** [Fin-Research@newcastle.edu.au](mailto:Fin-Research@newcastle.edu.au) **no later than 16 February 2018.**